

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**January 2015**

**Securities Registrations**

Filing/Security Type	Paper	Electronic	Total
Additional	94	334	428
Oversales	9	76	85
Renewal Filings	559	1329	1888
New Notice Filings	245	174	419
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	0	0	0
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

**Broker-Dealers and Broker-Dealer Agents**

Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
Approved	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	18	0	18
Gain (+) /Loss (-) BD's between Dec '14 & Jan '15	-11	0	-11
<b>Total BD's Registered as of January 31, 2015</b>	<b>1,330</b>	<b>30</b>	<b>1,360</b>
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	4,041	0	4,041
Denied	0	0	0
Terminations	1,239	0	1,239
Gain (+) /Loss (-) BDA's between Dec '14 & Jan '15	2,802	0	2,802
<b>Total BDA's Registered as of January 31, 2015</b>	<b>94,628</b>	<b>31</b>	<b>94,659</b>

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**Investment Advisers and Representatives**

**Investment Advisers**

Activity	Registered	Notice Filed	Total
Approved	5	19	24
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	2	1	3
Denied	0	0	0
Gain (+) /Loss (-) IA's between Dec '14 & Jan '15	3	18	21
<b>Total IA's Registered as of January 31, 2015</b>	<b>102</b>	<b>1,196</b>	<b>1,298</b>

**Investment Adviser Representatives**

Activity	Registered	Notice Filed	Total
Approved	4	81	85
Denied	0	0	0
Terminated	10	36	46
Gain (+) /Loss (-) IAR's between Dec '14 & Jan '15	-6	45	39
<b>Total IAR's Registered as of January 31, 2015</b>	<b>167</b>	<b>3,611</b>	<b>3,778</b>

**Exemptions**

Exemption Type	Number
8-1108.02(2)	36
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	12
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
<b>Total Exemptions as of January 31, 2015</b>	<b>48</b>